



# TRANSMITTAL FORM

Application Serial Number	10/688,864
Filing Date	October 17, 2003
First Named Inventor	Sachs
Group Art Unit	1765
Examiner Name	Not yet assigned
Attorney Docket No.	EVG-018
Patent No.	Not applicable
Issue Date	Not applicable

## ENCLOSURES (check all that apply)

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Check Attached<br><input type="checkbox"/> Copy of Fee Transmittal Form<br><br><input type="checkbox"/> Amendment/Response<br><input type="checkbox"/> Preliminary<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]<br><br><input type="checkbox"/> Petition for Extension of Time<br><br><input checked="" type="checkbox"/> Supplemental Information Disclosure Statement<br><input checked="" type="checkbox"/> Form PTO-1449<br><input checked="" type="checkbox"/> Copies of IDS Citations<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Sequence Listing submission<br><input type="checkbox"/> Paper Copy/CD<br><input type="checkbox"/> Computer Readable Copy<br><input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)<br><br><input type="checkbox"/> Formal Drawing(s)<br><br><input type="checkbox"/> Request For Continued Examination (RCE) Transmittal<br><br><input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application<br><br><input type="checkbox"/> Small Entity Statement<br><br><input type="checkbox"/> CD(s) for large table or computer program<br><br><input type="checkbox"/> Amendment After Allowance | <input type="checkbox"/> Request for Certificate of Correction<br><input type="checkbox"/> Certificate of Correction (in duplicate)<br><br><input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences<br><br><input type="checkbox"/> Appeal Brief (in triplicate)<br><br><input type="checkbox"/> Status Inquiry<br><br><input checked="" type="checkbox"/> Return Receipt Postcard<br><br><input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8<br><br><input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below)<br><br><input checked="" type="checkbox"/> Petition to Make Special Under 37 C.F.R. § 1.102 |
|---|---|---|

### CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 24th day of September, 2004.

*Heather J. Morgan*  
Heather J. Morgan

### CORRESPONDENCE ADDRESS

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### SIGNATURE BLOCK

Date: September 24, 2004  
Reg. No.: 36,471  
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Respectfully submitted,

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PATENT  
Attorney Docket No. EVG-018

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Sachs  
SERIAL NO.: 10/688,864 GROUP NO.: 1765  
FILING DATE: October 17, 2003 EXAMINER: Not yet assigned  
TITLE: METHOD AND APPARATUS FOR CRYSTAL GROWTH

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. In accordance with the U.S. Patent Office's partial waiver of the requirement under 37 C.F.R. 1.98(a)(2)(i), copies of the cited U.S. patents and published U.S. patent applications are not enclosed.

**REMARKS**

In accordance with the provisions of 37 C.F.R., this statement is being filed (check one)

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a final action or notice of allowance but before the payment of the issue fee, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein.

It is respectfully requested that each patent and publication listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

### STATEMENT


As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

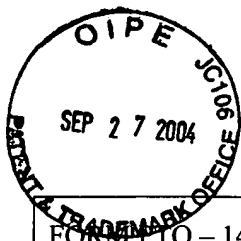
- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

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SHEET 1 of 2

FOR PTO - 1449

SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT

ATTY DOCKET NO.: EVG-018

APPLICANTS: Sachs

SERIAL NO.: 10/688,864

FILING DATE: October 17, 2003

GROUP: 1765

## U.S. PATENT DOCUMENTS

EXAM INIT.		DOCUMENT NO.	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A11	3,031,403	04/24/62	Bennett, Jr.			
	A12	3,058,915	10/16/62	Bennett			
	A13	3,096,158	07/02/63	Gaulé et al.			
	A14	3,298,795	01/17/67	Hamilton et al.			
	A15	3,795,488	03/05/74	Oliver			
	A16	3,980,438	09/14/76	Castonguay et al.			
	A17	4,036,595	07/19/77	Lorenzini et al.			
	A18	4,221,754	09/09/80	Nowak			
	A19	4,427,638	01/24/84	Ellis et al.			
	A20	4,469,552	09/04/84	Thornhill			
	A21	4,510,015	04/09/85	Ellis et al.			
	A22	4,512,954	04/23/85	Matsui			
	A23	4,577,588	03/25/86	Mautref et al.			
	A24	4,861,416	08/29/89	Morrison			
	A25	4,936,947	06/26/90	Mackintosh			
	A26	5,098,229	03/24/92	Meier et al.			
	A27	5,242,667	09/07/93	Koziol et al.			
	A28	5,370,078	12/06/94	Kou et al.			
	A29	5,690,732	11/25/97	Otani et al.			
	A30	5,723,337	03/03/98	Muller et al.			
	A31	5,911,826	06/15/99	Hiraishi et al.			
EXAMINER				DATE CONSIDERED			



FORM PTO - 1449	ATTY DOCKET NO.: EVG-018
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT	APPLICANTS: Sachs
	SERIAL NO.: 10/688,864
	FILING DATE: October 17, 2003
	GROUP: 1765

EXAM INIT.		DOCUMENT NO.	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A32	US2004/0083946	05/06/04	Wallace, Jr.			

FOREIGN PATENT DOCUMENTS

EXAM INIT.		DOCUMENT NO.	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG Y/N
	B4	53073481	06/29/78	JP				Y	Y
	B5	58194798	11/12/83	JP				Y	Y
	B6	59182293	10/17/84	JP				Y	Y
	B7	0 170 856	09/18/91	EP				N	Y
	B8	0 390 502	10/03/90	EP				N	Y
	B9	0 875 606	11/04/98	EP				N	Y
	B10	2001/04388	01/18/01	WO				N	Y

OTHER ART, JOURNAL ARTICLES, ETC.

EXAM INIT.	OTHER DOCUMENTS (Including Author, title, Date, Relevant Pages, Place of Publication)	
	C3	Morrison (Feb. 1986), "Filament Guides for Silicon Ribbon Growth," NASA Tech. Briefs, USA, Vol. 9, No. 2, 5 pgs.
	C4	Zoutendyk et al.(Mar. 1984), "Gas-Jet Meniscus Control in Ribbon Growth", NASA Tech. Briefs, USA, Vol. 7, No. 3, 29 pgs.
	C5	PCT/US00/17651, International Search Report, February 22, 2001, 3 pgs.

EXAMINER	DATE CONSIDERED
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